

DECLARATION AND POWER OF ATTORNEY FOR PATENT APPLICATION

As below named inventors, we hereby declare that:

Our residence, post office address and citizenship are as stated below under our names.

We believe that we are the original, first and joint inventors of the subject matter which is claimed and for which a patent is sought on the invention entitled

SIGNAL TRANSDUCER FOR THE TNF RECEPTOR SUPER FAMILY, AND USES THEREOF

the Specification of which

☐ is attached hereto
☒ was filed on March 31, 1998
as Application Serial No. 09/052,089
and was amended on _____ (if applicable).

We hereby state that we have reviewed and understand the contents of the above-identified Specification, including the claims, as amended by any amendment referred to above.

We acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, 1.56(a).

We hereby claim foreign priority benefits under Title 35, United States Code, §119 of any provisional application filed in the United States in accordance with 35 U.S.C. §1.119(e), or any application for patent that has been converted to a Provisional Application within one (1) year of its filing date, or any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed.

<u>APPLICATION</u> <u>NUMBER</u>	<u>COUNTRY</u>	<u>PRIOR FILED APPLICATION(S)</u> <u>(DAY/MONTH/YEAR FILED)</u>	<u>PRIORITY</u> <u>CLAIMED</u>
60/042,293	U.S.A.	01 04 97	PENDING
60/042,747	U.S.A.	07 04 97	PENDING

We hereby claim the benefit under Title 35, United States Code, §120 of any United States application listed below, and, insofar as the subject matter of each of the claims of this application is not disclosed in any prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112. I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56(a), which occurred between the filing date of the prior application and the national or PCT international

filing date of this application:

APPLICATION NO. _____	FILING DATE (DAY/MONTH/YEAR) _____	STATUS - PATENTED, PENDING, ABANDONED _____
NONE		

We hereby appoint as our attorneys or agents the following persons: Jack Matalon, (Attorney, Registration No. 22,441); Stefan J. Klauber (Attorney, Registration No. 22,604); David A. Jackson (Attorney, Registration No. 26,742); Michael D. Davis (Attorney, Registration No. 39,161); Christine E. Dietzel (Agent, Registration No. 37,309); William C. Coppola (Attorney, Registration No. P-41,686); and Mark S. Cohen (Attorney, Registration No. P-42,425), said attorneys or agents with full power of substitution and revocation to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.

Please address all correspondence regarding this application to:

DAVID A. JACKSON, ESQ.
KLAUBER & JACKSON
411 HACKENSACK AVENUE
HACKENSACK, NEW JERSEY 07601

Direct all telephone calls to David A. Jackson at (201) 487-5800.

We hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further, that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

FULL NAME OF FIRST OR SOLE INVENTOR: SOO YOUNG LEE

COUNTRY OF CITIZENSHIP: Korea

FULL RESIDENCE ADDRESS: 500 East 63rd Street. Apt. 15H
New York, New York 10021

FULL POST OFFICE ADDRESS: 500 East 63rd Street. Apt. 15H
New York, New York 10021

SIGNATURE OF INVENTOR *Sooyoung Lee*

DATE 6/17/98

FULL NAME OF SECOND JOINT INVENTOR: YONGWON CHOI

COUNTRY OF CITIZENSHIP: United States

FULL RESIDENCE ADDRESS: 325 East 84th Street, Apt. 5A
New York, New York 10028

FULL POST OFFICE ADDRESS: 325 East 84th Street, Apt. 5A
New York, New York 10028

SIGNATURE OF INVENTOR

DATE

6/12/98

Applicant or Pat ntee: Soo Young Lee and Yongwon Choi

Application or Patent No.: 09/052,089

Filed or Issued: March 31, 1998

For: SIGNAL TRANSDUCER FOR THE TNF RECEPTOR SUPER FAMILY, AND USES THEREOF

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY
STATUS (37 C.F.R. §§ 1.9(f) AND 1.27(d)) - NONPROFIT ORGANIZATION**

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF ORGANIZATION The Rockefeller University

ADDRESS OF ORGANIZATION 1230 York Avenue

New York, New York 10021-6399

TYPE OF ORGANIZATION

- ☒ University or other institution of higher education
☐ Tax exempt under Internal Revenue Service Code (26 U.S.C. §§ 501(a) and 501(c)(3))
☐ Nonprofit scientific or educational under statute of state of The United States of America
(Name of state _____)
(Citation of statute _____)
☐ Would qualify as tax exempt under Internal Revenue Service Code (26 U.S.C. §§ 501(a) and 501(c)(3)) if located in The United States of America
☐ Would qualify as nonprofit scientific or educational under statute of The United States of America if located in The United States of America
(Name of state _____)
(Citation of statute _____)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 C.F.R. § 1.9(e) for purposes of paying reduced fees under Sections 41(a) and 41(b) of Title 35, United States Code, with regard to the invention entitled SIGNAL TRANSDUCER FOR THE TNF RECEPTOR SUPER FAMILY, AND USES THEREOF by inventor(s) Soo Young Lee and Yongwon Choi described in

- ☐ the specification filed herewith
☒ Application No. 09/052,089, filed March 31, 1998
☐ Patent No. _____, issued _____

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above-identified invention.

If the rights held by the above-identified nonprofit organization are not exclusive, each individual, concern, or organization having rights to the invention is listed below,* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an individual inventor under 37 C.F.R. § 1.9(c), or by any concern that would not qualify as either a small business concern under 37 C.F.R. § 1.9(d) or a nonprofit organization under 37 C.F.R. § 1.9(e).

*NOTE: Separate verified statements are required from each named person, concern, or organization having rights to the invention averring to their status as small entities. (37 C.F.R. § 1.27.)

FULL NAME _____
ADDRESS _____
☐ individual ☐ small business concern ☐ nonprofit organization

FULL NAME _____
ADDRESS _____
☐ individual ☐ small business concern ☐ nonprofit organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earlier of the issue fee and any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 C.F.R. § 1.28(b).)

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code; and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed:

NAME OF PERSON SIGNING William H. Griesar
TITLE IN ORGANIZATION Vice President and General Counsel
ADDRESS OF PERSON SIGNING 1230 York Avenue
New York, New York 10021-6399

SIGNATURE  DATE 6/5/98



**UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office**

ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

NOVEMBER 04, 1998

PTAS

KLAUBER & JACKSON
DAVID A. JACKSON
411 HACKENSACK AVENUE, 4TH FLOOR
HACKENSACK, NEW JERSEY 07601

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KLAUBER & JACKSON

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NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT**

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PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 08/10/1998

REEL/FRAME: 9376/0305
NUMBER OF PAGES: 5

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

LEE, SOO YOUNG

DOC DATE: 06/22/1998

ASSIGNEE:

ROCKEFELLER UNIVERSITY, THE
1230 YORK AVENUE
NEW YORK, NEW YORK 10021-6399

SERIAL NUMBER: 09052089
PATENT NUMBER:

FILING DATE: 03/31/1998
ISSUE DATE:

SHIRLIE SIMON, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

JC825 U.S. PTO
09/7/98
11/20/00

FORM PTO-1595
(Rev. 6/93)

08-14-1998



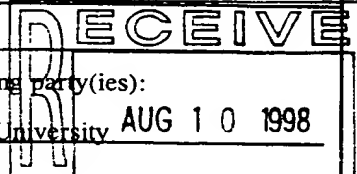
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U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office

ET

Attorney Docket No. 600-1-198 CIP 1

To the Assistant Commissioner for Patents



1. Name of conveying party(ies):

Soo Young Lee

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name

Other: _____

Execution Date: June 22, 1998

2. Name and address of receiving party(ies):

Name: The Rockefeller University

Address: 1230 York Avenue
New York, New York 10021-6399

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: _____

A. Patent Application No.(s)

09/052.089

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: David A. Jackson

Address: KLAUBER & JACKSON

411 Hackensack Avenue, 4th Floor

Hackensack, New Jersey 07601

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41): \$40.00

☒ Enclosed

☐ Authorized to be charged to deposit account, if necessary - for overages or underpayments only

8. Deposit account number:

11-1153

(Attach duplicate copy of this page if paying by deposit account)

8/12/1998 JSHABAZZ 00000085 09052089

1 FC:581

40.00 JP

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9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

William C. Coppola, Reg. No. P41.686

Name of Person Signing

[Signature]
Signature

8/7/98
Date

Total number of pages including cover sheet, attachments, and document: 5

Mail documents to be recorded with required cover sheet information to:

Assistant Commissioner for Patents
Box Assignments
Washington, D.C. 20231

[제42호 서식]

등부 19 98 년 제 2195 호 Registered No. 2195 of 19 98

인 증

Notarial Certificate LEE, SOOYOUNG

위 양도증서

에 기재된 이수영 은

personally appeared before

본직의 면전에서 위 사서증서에

me and admitted his(her)

자기가 서 명날인 한 것임을

subscription to the

attached ASSIGNMENT

자인하였다.

19 98 년 7 월 2 일 이

This is hereby attested on

this 2 day of Jul, 1998

사무소에서 인증한다.

at this office

공증인가 춘천합동법률사무소

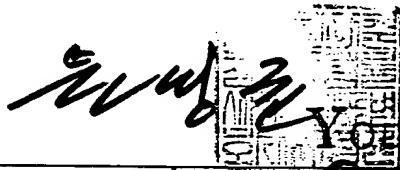
CHUNCHEON LAW AND NOTARY OFFICE

709, Hyoja 2 Dong, Chuncheon-Si,

주소 강원도 춘천시 효자2동 709

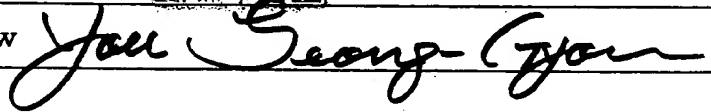
Kangwon-Do, Korea

공증담당변호사



Yoo Seong Gyoum

Notary Attorney-at-Law



This office has been authorized by the Minister of Justice, the Republic of Korea, to act as Notary Public since November 26, 1993.

under Law No. 4544

countries foreign to the United States, whose duty it is to issue patents on applications as aforesaid, to issue all Letters Patent for said improvements to the said

ASSIGNEE,

its successors, legal representatives and assigns, in accordance with the terms of this instrument.

AND I HEREBY covenant that we have full right to convey the interest herein assigned in the manner hereinabove set forth, and that we have not executed, and will not execute, any agreement in conflict herewith,

AND I HEREBY further covenant and agree that we will communicate to the said

ASSIGNEE,

its successors, legal representatives and assigns, any fact known to us respecting said improvements, and testify in any legal proceeding, sign all lawful papers, execute all divisions, continuing and reissue applications, make all rightful oaths and generally do everything possible to aid the said

ASSIGNEE,

its successors, legal representatives and assigns, to obtain and enforce proper Patent Protection for said improvements in the United States.

IN TESTIMONY WHEREOF, I hereunto set my hand and seal the day and year set opposite my signature.

Date 6/22, 1998

So Young Lee L.S.
SOO YOUNG LEE

State of :
: ss.
County of :

Before me this day of 1998, personally appeared SOO YOUNG LEE, to me personally known to be the person who is described in and who executed the above instrument, and acknowledged to me that he executed the same of his own free will for the purposes therein set forth.

Notary Public

(Affix Seal Here)

[제41호 서식]

Registered No. 1998 - 2195

NOTARIAL CERTIFICATE



CHUNCHEON LAW AND NOTARY OFFICE

23230-05311-일
90. 11. 26 승인

공증인가춘천합동법률사무소
(공증부 242-4311, 242-4312)

인쇄용지 (특급) 70g/m²
210mm × 297mm

ASSIGNMENT

WHEREAS, I, Soo Young Lee, a citizen of Korea
residing at 500 East 63rd Street, Apt. 15H
New York, New York 10021-6399

ASSIGNOR, has invented certain new and useful improvements in

**SIGNAL TRANSDUCER FOR THE TNF RECEPTOR SUPER FAMILY, AND USES
THEREOF**

for which I have filed an Application for Letters Patent in the United States on
March 31, 1998, as U.S. Serial No. 09/052,089; and

WHEREAS,

 The Rockefeller University
 an education corporation organized and existing under
 the laws of the State of New York,
with offices at 1230 York Avenue, New York, New York 10021-6399

ASSIGNEE, is desirous of obtaining the entire right, title and interest in, to and under the said
improvements and the said application;

NOW, THEREFORE, FOR other good and valuable consideration, the receipt of which
is hereby acknowledged, we the said

ASSIGNOR,

has sold, assigned, transferred and set over, and by these presents do hereby sell, assign, transfer
and set over, to the said

ASSIGNEE,

its successors, legal representatives and assigns, the entire right, title and interest in, to and
under the said improvements, and the said application and all divisions, renewals and
continuations thereof, and all Letters Patent of the United States which may be granted thereon
and all reissues and extensions thereof, and all applications for Letters Patent which may
hereafter be filed for said improvements in any country or countries foreign to the United States,
including the right to claim priority under the terms of any appropriate International Convention
based upon said application for Letters Patent of the United States, and all Letters Patent which
may be granted for said improvements in any country or countries foreign to the United States
and extensions, renewals and reissues thereof; and we hereby authorize and request the
Commissioner of Patents and Trademarks of the United States and any official of any country or



**UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office**

ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

NOVEMBER 04, 1998

PTAS

KLAUBER & JACKSON
DAVID A. JACKSON
411 HACKENSACK AVENUE, 4TH FLOOR
HACKENSACK, NEW JERSEY 07601



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RECORDATION DATE: 08/10/1998

REEL/FRAME: 9376/0916

NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

CHOI, YONGWON

DOC DATE: 06/19/1998

ASSIGNEE:

HOWARD HUGHES MEDICAL INSTITUTE
4000 JONES BRIDGE ROAD
CHEVY CHASE, MARYLAND 20815-6789

SERIAL NUMBER: 09052089

FILING DATE: 03/31/1998

PATENT NUMBER:

ISSUE DATE:

SHAREILL COLES, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

JC825 U.S. PTO
09/716536
11/20/00

FOR PTO-1595
(Rev. 6/93)

08-14-1998

U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office

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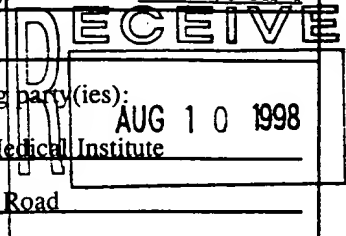


ET

100793853

Attorney Docket No. 600-1-198 CIP-1

To the Assistant Commissioner for Patents



1. Name of conveying party(ies):

Yongwon Choi

WRD
8-10-98

2. Name and address of receiving party(ies):

Name: Howard Hughes Medical Institute

Address: 4000 Jones Bridge Road

Chevy Chase, Maryland 20815-6789

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment

☐ Merger

☐ Security Agreement

☐ Change of Name

Other: _____

Execution Date: June 19, 1998

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: _____

A. Patent Application No.(s)

09/052,089

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: David A. Jackson

Address: KLAUBER & JACKSON

411 Hackensack Avenue, 4th Floor

Hackensack, New Jersey 07601

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41): \$ 40.00

☒ Enclosed

☐ Authorized to be charged to deposit account, if necessary - for overages or underpayments only

8. Deposit account number:

11-1153

(Attach duplicate copy of this page if paying by deposit account)

JCB25 U.S. PTO
09/716536



11/20/98

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9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

William C. Coppola, Reg. No. P41.686
Name of Person Signing

[Signature]
-Signature

8/7/98
Date

Total number of pages including cover sheet, attachments, and document: 3

Mail documents to be recorded with required cover sheet information to:

Assistant Commissioner for Patents
Box Assignments
Washington, D.C. 20231

ASSIGNMENT

Assignment made June 19th, 1998, by Yongwon Choi, Ph.D. a citizen of the United States, residing at 325 East 84th Street, Apt. 5A, New York, New York 10028 ("Inventor"), to the Howard Hughes Medical Institute, a Delaware corporation, having a principal business address at 4000 Jones Bridge Road, Chevy Chase, MD 20815-6789 (the "Institute").

Recitals

WHEREAS, Inventor is an employee of the Institute and, as a condition of his employment, has signed the Agreement appended to the Institute's Statement of Policy on Intellectual Property (the "Intellectual Property Agreement");

WHEREAS, pursuant to the Intellectual Property Agreement, Inventor has agreed (a) to assign to the Institute all rights he may acquire in any invention, discovery, improvement, or other intellectual property, whether or not patentable or copyrightable, developed directly or indirectly as a result of a program of research financed by Institute funds or by funds under the control of the Institute (each a "Subject Property") and (b) to execute any agreements that may be desired by the Institute in connection with such assignment;

WHEREAS, Inventor has, alone or with others, invented "Signal Transducer for the TNF Receptor Super Family, and Uses Thereof" (the "Invention"), and the Invention is a Subject Property; and

WHEREAS, Inventor seeks to make a formal assignment of his interest in the Invention to the Institute, and the Institute desires the execution of a formal assignment of all of Inventor's right, title, and interest in the Invention.

NOW, THEREFORE, in consideration of the promises contained in and the acts performed and to be performed pursuant to the Intellectual Property Agreement and of other good and valuable consideration, the receipt of which is hereby acknowledged by Inventor, Inventor agrees as follows:

1. Assignment. Inventor hereby assigns to the Institute his entire right, title, and interest in the Invention; any United States patent applications and all corresponding foreign patent applications which are directed to the Invention (including, without limitation, the patent application entitled "Signal Transducer for the TNF Receptor Super Family, and Uses Thereof" filed in the United States Patent and Trademark Office on March 31, 1998 with serial number 09/052,089), and any and all patents issued therefrom; all United States or foreign division and continuation applications based on any of the foregoing, and any and all patents issued therefrom; and all claims which are directed to the Invention and which may be contained in continuation-in-part applications or in patents which issue therefrom.

2. Cooperation. Inventor agrees to execute upon request such further assignments, documents, and other instruments as may be necessary or desirable to assign Inventor's entire right, title and interest in the Invention to the Institute and to assist the Institute (or others at the direction of the Institute) in applying for, obtaining, and enforcing patents, copy-rights, or other rights in the United States and in any foreign country with respect to the Invention.

3. Parties. The terms and provisions of this Assignment shall inure to the benefit of the Institute and its successors and assigns and shall be binding on Inventor and his heirs, personal representatives and assigns.

4. Warranty. Inventor warrants and represents that he has not entered into any assignment, contract, or understanding in conflict herewith, and that there is no other person or entity whose consent is required in order for the Inventor to make the assignment contained herein.

Inventor: _____

Yongwon Choi, Ph.D.

State of New York

County of Suffolk

Then personally appeared before me the above-named Yongwon Choi and acknowledged that he executed the foregoing instrument as his free act and deed this 19th day of June, 1998.

Notary Public
(print name)

(SEAL)

My Commission expires ____/____/____

EDIT BIRO
Notary Public, State of New York
No. 31-4962936
Qualified in Suffolk County
Commission Expires Feb. 28, 2000

RU 359
HHMI 021937-97-00969



UNITED STATES DEPARTMENT OF COMMERCE

Patent and Trademark Office

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OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

NOVEMBER 04, 1998

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HACKENSACK, NEW JERSEY 07601



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NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:
CHOI, YONGWON

DOC DATE: 06/19/1998

ASSIGNEE:
HOWARD HUGHES MEDICAL INSTITUTE
4000 JONES BRIDGE ROAD
CHEVY CHASE, MARYLAND 20815-6789

SERIAL NUMBER: 09052089
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FILING DATE: 03/31/1998
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ASSIGNMENT DIVISION
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(Rev. 6/93)

08-14-1998

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Patent and Trademark Office

RE



ET

100793853

Attorney Docket No. 600-1-198 CIP-1

To the Assistant Commissioner for Patents

1. Name of conveying party(ies):

Yongwon Choi

MRD
8-10-98

2. Name and address of receiving party(ies):

Name: Howard Hughes Medical Institute

Address: 4000 Jones Bridge Road

Chevy Chase, Maryland 20815-6789

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment

☐ Merger

☐ Security Agreement

☐ Change of Name

Other: _____

Execution Date: June 19, 1998

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: _____

A. Patent Application No.(s)

09/052,089

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: David A. Jackson

Address: KLAUBER & JACKSON

411 Hackensack Avenue, 4th Floor

Hackensack, New Jersey 07601

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41): \$ 40.00

☒ Enclosed

☐ Authorized to be charged to deposit account, if necessary -
for overages or underpayments only

8. Deposit account number:

11-1153

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

William C. Coppola, Reg. No. P41,686

Name of Person Signing

[Signature]
Signature

8/7/98
Date

Total number of pages including cover sheet, attachments, and document: 3

Mail documents to be recorded with required cover sheet information to:

Assistant Commissioner for Patents
Box Assignments
Washington, D.C. 20231

ASSIGNMENT

Assignment made June 19th, 1998, by Yongwon Choi, Ph.D. a citizen of the United States, residing at 325 East 84th Street, Apt. 5A, New York, New York 10028 ("Inventor"), to the Howard Hughes Medical Institute, a Delaware corporation, having a principal business address at 4000 Jones Bridge Road, Chevy Chase, MD 20815-6789 (the "Institute").

Recitals

WHEREAS, Inventor is an employee of the Institute and, as a condition of his employment, has signed the Agreement appended to the Institute's Statement of Policy on Intellectual Property (the "Intellectual Property Agreement");

WHEREAS, pursuant to the Intellectual Property Agreement, Inventor has agreed (a) to assign to the Institute all rights he may acquire in any invention, discovery, improvement, or other intellectual property, whether or not patentable or copyrightable, developed directly or indirectly as a result of a program of research financed by Institute funds or by funds under the control of the Institute (each a "Subject Property") and (b) to execute any agreements that may be desired by the Institute in connection with such assignment;

WHEREAS, Inventor has, alone or with others, invented "Signal Transducer for the TNF Receptor Super Family, and Uses Thereof" (the "Invention"), and the Invention is a Subject Property; and

WHEREAS, Inventor seeks to make a formal assignment of his interest in the Invention to the Institute, and the Institute desires the execution of a formal assignment of all of Inventor's right, title, and interest in the Invention.

NOW, THEREFORE, in consideration of the promises contained in and the acts performed and to be performed pursuant to the Intellectual Property Agreement and of other good and valuable consideration, the receipt of which is hereby acknowledged by Inventor, Inventor agrees as follows:

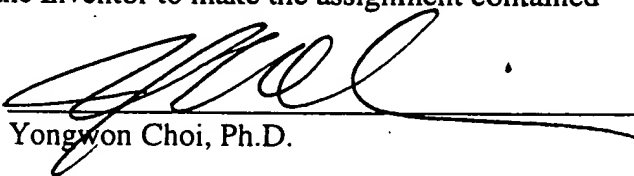
1. Assignment: Inventor hereby assigns to the Institute his entire right, title, and interest in the Invention; any United States patent applications and all corresponding foreign patent applications which are directed to the Invention (including, without limitation, the patent application entitled "Signal Transducer for the TNF Receptor Super Family, and Uses Thereof" filed in the United States Patent and Trademark Office on March 31, 1998 with serial number 09/052,089), and any and all patents issued therefrom; all United States or foreign division and continuation applications based on any of the foregoing, and any and all patents issued therefrom; and all claims which are directed to the Invention and which may be contained in continuation-in-part applications or in patents which issue therefrom.

2. Cooperation. Inventor agrees to execute upon request such further assignments, documents, and other instruments as may be necessary or desirable to assign Inventor's entire right, title and interest in the Invention to the Institute and to assist the Institute (or others at the direction of the Institute) in applying for, obtaining, and enforcing patents, copy-rights, or other rights in the United States and in any foreign country with respect to the Invention.

3. Parties. The terms and provisions of this Assignment shall inure to the benefit of the Institute and its successors and assigns and shall be binding on Inventor and his heirs, personal representatives and assigns.

4. Warranty. Inventor warrants and represents that he has not entered into any assignment, contract, or understanding in conflict herewith, and that there is no other person or entity whose consent is required in order for the Inventor to make the assignment contained herein.

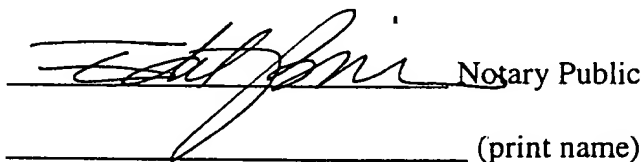
Inventor:


Yongwon Choi, Ph.D.

State of New York

County of Suffolk

Then personally appeared before me the above-named Yongwon Choi and acknowledged that he executed the foregoing instrument as his free act and deed this 19th day of June, 1998.

 Notary Public
(print name)

(SEAL)

My Commission expires ___/___/___

EDIT BIRO
Notary Public, State of New York
No. 31-4982936
Qualified in Suffolk County
Commission Expires Feb. 28, 2000

RU 359
HHMI 021937-97-00969



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

FEBRUARY 04, 1999

PTAS

KLAUBER & JACKSON
DAVID A. JACKSON
411 HACKENSACK AVENUE, 4TH FLOOR
HACKENSACK, NEW JERSEY 07601

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NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

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PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 10/13/1998

REEL/FRAME: 9508/0608
NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

HOWARD HUGHES MEDICAL INSTITUTE

DOC DATE: 07/06/1998

ASSIGNEE:

ROCKEFELLER UNIVERSITY, THE
1230 YORK AVENUE
NEW YORK, NEW YORK 10021-6399

SERIAL NUMBER: 09052089

FILING DATE: 03/31/1998

PATENT NUMBER:

ISSUE DATE:

KIMBERLY WHITE, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

10-19-1998



FORM PTO-1595
(Rev. 6/93)

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U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office

Attorney Docket No. 600-1-198 CIP1

To the Assistant Commissioner for Patents

1. Name of conveying party(ies):

Howard Hughes Medical Institute

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment

☐ Merger

☐ Security Agreement

☐ Change of Name

Other: _____

Execution Date: July 6, 1998

2. Name and address of receiving party(ies):

Name: The Rockefeller University

Address: 1230 York Avenue

New York, New York 10021-6399

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: _____

A. Patent Application No.(s)

09/052.089

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William C. Coppola, Reg. No. 41,686

Name of Person Signing

William C. Coppola #41,686
Signature

10/7/98
Date

Total number of pages including cover sheet, attachments, and document: 3

Mail documents to be recorded with required cover sheet information to:

Assistant Commissioner for Patents
Box Assignments
Washington, D.C. 20231

ASSIGNMENT

Assignment made June 19, 1998 by the Howard Hughes Medical Institute, a Delaware corporation, having a principal business address at 4000 Jones Bridge Road, Chevy Chase, MD 20815-6789 (the "Institute"), to The Rockefeller University, an education corporation organized and existing under the laws of the State of New York, with offices at 1230 York Avenue, New York, New York 10021-6399 ("Rockefeller").

Recitals

WHEREAS, the Institute and Rockefeller collaborate in the active conduct of medical research pursuant to a Collaboration Agreement between them dated as of August 12, 1986 (the "Collaboration Agreement");

WHEREAS, pursuant to the Collaboration Agreement, the Institute has agreed to assign to Rockefeller the Institute's rights with respect to inventions, discoveries, improvements, and other intellectual property, whether patentable or copyrightable (each a "subject property"), conceived or reduced to practice in the course of the research program conducted under the Collaboration Agreement by employees of the Institute; and

WHEREAS, research conducted pursuant to the Collaboration Agreement by Yongwon Choi, Ph.D. while employed by the Institute at Rockefeller has resulted in an invention entitled "Signal Transducer for the TNF Receptor Super Family, and Uses Thereof" (the "Invention").

NOW, THEREFORE, for good and valuable consideration, the receipt of which is hereby acknowledged by the Institute, the Institute agrees as follows:

1. Assignment. The Institute hereby assigns to Rockefeller any and all right, title, and interest of the Institute; any United States patent applications and all corresponding foreign patent applications, which are directed to the Invention (including, without limitation, the patent application entitled "Signal Transducer for the TNF Receptor Super Family, and Uses Thereof," filed in the United States Patent and Trademark Office on March 31, 1998, and assigned U.S. Serial No. 09/052,089), and any and all patents issued therefrom; all United States or foreign divisions and continuations based on any of the foregoing, and any and all patents issued therefrom; and all claims which are directed to the Invention and are contained in continuation-in-part applications or in patents which issue therefrom; all in accordance with and subject to the provisions of the Collaboration Agreement (including, without limitation, Section 4.1 thereof); and further authorize and request the Commissioner of Patents and Trademarks of the United States and any official of any country or countries foreign to the United States whose duty it is to issue patents on applications as aforesaid to issue all Letters Patent for the Invention to Rockefeller.

2. Cooperation. The Institute agrees to execute upon request such further assignments, documents, and other instruments as may be necessary or desirable fully and completely to assign the Institute's interests in the Invention to Rockefeller and to assist Rockefeller in applying for, obtaining, and enforcing patents, copyrights, or other rights in the United States and in any foreign country with respect to any such Invention.

HOWARD HUGHES MEDICAL INSTITUTE

By: _____

W. Maxwell Cowan, M.D., Ph.D.

Vice President and Chief Scientific Officer

State of Maryland
Montgomery County

Then personally appeared before me the above-named W. MAXWELL COWAN, known to me to be the Vice President and Chief Scientific Officer of the Howard Hughes Medical Institute, and acknowledged that he executed the foregoing instrument as the free act and deed of the Howard Hughes Medical Institute, and that he was authorized to execute said instrument, this 6th day of July, 1998.

Sharon F. Brickhill

Notary Public

Sharon F. Brickhill (print name)

My commission expires 3/1/00

SHARON F. BRICKHILL
NOTARY PUBLIC STATE OF MARYLAND
My Commission Expires March 1, 2000